

BIRCH, STEWART, KOLASCH & BIRCH, LLP

INTELLECTUAL PROPERTY LAW
8110 GATEHOUSE ROAD
SUITE 500 EAST
FALLS CHURCH, VA 22042-1210
USA

(703) 205-8000

FAX: (703) 205-8050

(703) 698-8590 (G IV)

e-mail: mailroom@bskb.com

web: <http://www.bskb.com>

CALIFORNIA OFFICE
COSTA MESA, CALIFORNIA

THOMAS S. AUCHTERLONIE
JAMES T. ELLER, JR.
SCOTT L. LOWE
MARK J. NUEL, PH.D.
D. RICHARD ANDERSON
PAUL C. LEWIS
MARK W. MILSTEAD*
RICHARD J. GALLAGHER
JAYNE M. SAYDAH*
MARYANNE ARMSTRONG, PH.D.
HYUNG N. SOHN
ALAN PEDERSEN-GILES
KECIA J. REYNOLDS

REG. PATENT AGENTS:
FREDERICK R. HANDREN
MAKI HATSUMI
MIKE S. RYU
CRAIG A. McROBBIE
GARTH M. DAHLEN, PH.D.
ROBERT E. GOOZNER, PH.D.
MATTHEW J. LATTIG
TIMOTHY R. WYCKOFF
KRISTI L. RUPERT, PH.D.
LARRY J. HUME
ALBERT K. LEE
HARRY A. SAYADIAN, PH.D.
EVE L. FRANK, PH.D.
MATTHEW T. SHANLEY

11/28/00
Jared S. PTO
ARRELL C. BIRCH
RAYMOND C. STEWART
JOSEPH A. KOLASCH
JAMES M. SLATTERY
BERNARD L. SWEENEY*
MICHAEL K. MUTTER
CHARLES GORENSTEIN
GERALD M. MURPHY, JR.
LEONARD R. SVENSSON
TERRY L. CLARK
ANDREW D. MEIKLE
MARC S. WEINER
JOE MCKINNEY MUNCY
ROBERT J. KENNEY
DONALD J. DALEY
JOHN W. BAILEY
JOHN A. CASTELLANO
GARY D. YACURA

OF COUNSEL:
HERBERT M. BIRCH (1905-1996)
ELLIOT A. GOLDBERG*
WILLIAM L. GATES*
EDWARD H. VALANCE
RUPERT J. BRADY (RET.)*
F. PRINCE BUTLER
FRED S. WHISENHUNT

*ADMITTED TO A BAR OTHER THAN VA.

Date: November 28, 2000

Docket No.: 3033-0155P

Assistant Commissioner for Patents
Box PATENT APPLICATION
Washington, D.C. 20231

Sir:

Transmitted herewith for filing is the patent application of

Inventor(s): SULLIVAN, Anthony F.

For: RISK CONTROL OPTIMIZER ALGORITHM

Enclosed are:

- ☒ A specification consisting of 58 pages
- ☒ 08 sheet(s) of formal drawings
- ☒ An assignment of the invention
- ☐ Certified copy of Priority Document(s)
- ☒ Executed Declaration ☒ Original ☐ Photocopy
- ☐ Applicant claims small entity status in accordance with 37 CFR 1.27
- ☐ Application Data Sheet in accordance with 37 C.F.R. 1.76
- ☐ Preliminary Amendment
- ☐ Information Disclosure Statement, PTO-1449 and reference(s)



Other _____

Applicant requests early publication

The filing fee has been calculated as shown below:

LARGE ENTITY				SMALL ENTITY	
FOR	NO. FILED	NO. EXTRA	RATE FEE		RATE FEE
BASIC FEE	***** ***** *****	***** ***** *****	***** ***** \$710.00 *****	or	**** **** \$355.00 ****
TOTAL CLAIMS	24 - 20 =	4	x18 =\$ 72.00	or	x 9 = \$ 0.00
INDEPENDENT	2 - 3 =	0	x80 =\$ 0.00	or	x 40 = \$ 0.00
MULTIPLE DEPENDENT CLAIM PRESENTED <u>no</u>			+270 = \$ 0.00	or	+135 = \$ 0.00
TOTAL \$ 782.00				TOTAL \$ 0.00	

X A check in the amount of \$ 822.00 to cover the filing fee and recording fee (if applicable) is enclosed.

____ Please charge Deposit Account No. 02-2448 in the amount of \$ _____. A triplicate copy of this transmittal form is enclosed.

____ No fee is enclosed.

If necessary, the Commissioner is hereby authorized in this, concurrent, and future replies, to charge payment or credit any overpayment to Deposit Account No. 02-2448 for any additional fees required under 37 C.F.R. 1.16 or under 37 C.F.R. 1.17; particularly, extension of time fees.

Respectfully submitted,

BIRCH, STEWART, KOLASCH & BIRCH, LLP

By James M. Slattery
JAMES M. SLATTERY
Reg. No. 28,380
P. O. Box 747
Falls Church, Virginia 22040-0747